

Contents

Introduction: Using the Manual	vi
Who Should Use It	vi
How the Manual is Organized	vi
Reference Aids	vi
Terms	vi
Acronyms	vii
 Chapter 1: State Energy Program (SEP) Review	
Program Description	1-3
Program Origins	1-3
Program Funding	1-5
State Matching or Cost Sharing	1-6
Petroleum Violation Escrow (PVE) Funds	1-7
Program Income	1-7
Special Project Funds	1-8
Prohibited Uses of SEP Funding	1-9
Allowable Costs and Expenditures	1-10
 Chapter 2: SEP State Plan Grant Application and Master File	
Special Projects	2-3
Grant Application	2-4
Standard Form 424	2-4
DOE F 4600.4—Federal Assistance Budget Information	2-4
GO-PF20a—Budget Explanation Page for Form DOE F 4600.4	2-4
SEP Narrative	2-5
Assurances and Certifications	2-7
Master File	2-11
Description of State Energy Goals to be Achieved	2-11
Selection of State Goals	2-11
Measuring Achievements	2-11
State Strategy	2-12
10% Improvement in Energy Efficiency by 2000	2-12
Mandatory Activities	2-12
Environmental Impact	2-13
Supplementing Weatherization	2-13
Supplementing State/Local Funds	2-13
Compliance with Laws and Regulations	2-13
Energy Emergency Plan	2-13
Monitoring Approach	2-13
 Chapter 3: Program Administration	
Program Regulations	3-5
Related Legislation/Regulations	3-6
Administration of Funds	3-6
Automated Standard Application for Payment (ASAP)	3-7
Budget	3-7
Financial Management	3-7
Financial Audits	3-7

Contents (continued)

Special Project Activities	3-8
Administering the Program	3-9
DOE Responsibilities	3-9
Pre-Award Activities	3-9
Post-Award Activities	3-10
RSO Review and Reporting Requirements	3-11
State Responsibilities	3-11
Reporting	3-12
Financial Status Report, Standard Form 269	3-12
Federal Cash Transactions Report, Standard Form 272	3-12
Program Status Report	3-12
SEP Success Story Form	3-13

Chapter 4: Monitoring the Program

Goals and Objectives	4-3
DOE Headquarters Monitoring RSOs	4-3
RSOs Monitoring State Energy Offices	4-4
Pre-Visit Review	4-5
Monitoring Visit	4-6
Post-Visit Review	4-7
States Monitoring State-Implemented Projects	4-8
States Monitoring Contractors/Subrecipients	4-9
Contract Monitoring	4-9
Pre-Visit Review	4-11
Monitoring Visit	4-12
Post-Visit Review	4-13
Closeout of Completed Contracts	4-13

Chapter 5: Using the Systems Approach to Grants Administration for Windows (WinSAGA)

What is WinSAGA?	5-3
Using WinSAGA	5-3
WinSAGA Reporting	5-4

Chapter 6: Sources of Information

Energy Efficiency and Renewable Energy Network (EREN)	6-3
The Office of Building Technology, State and Community Programs (BTS)	6-3
The Office of State and Community Programs	6-4
Other Resources	6-4
Code of Federal Regulations	6-5
Regional Support Offices	6-6
The Atlanta Regional Support Office	6-6
The Boston Regional Support Office	6-6
The Chicago Regional Support Office	6-6
The Denver Regional Support Office	6-6
The Philadelphia Regional Support Office	6-6
The Seattle Regional Support Office	6-7
Golden Field Office	6-7

Contents (concluded)

List of Tables

Table 1.	State Energy Program At-A-Glance	1-1
Table 2.	SEP State Plan Grant Application and Master File At-A-Glance	2-1
Table 3.	SEP Function and Activity Descriptions—Examples	2-8
Table 4.	SEP Responsibilities At-A-Glance	3-1
Table 5.	U.S. Department of Energy Regional Support Offices	3-10
Table 6.	State Energy Program Monitoring At-A-Glance	4-1
Table 7.	The Systems Approach to Grant Administration for Windows (WinSAGA) At-A-Glance	5-1
Table 8.	Sources of Information At-A-Glance	6-1
Table 9.	PVE Funding History At-A-Glance	A-1
Table 10.	Base Allocation by State	B-7

Appendices

Appendix A:	PVE Funding History	A-3
Appendix B:	Federal Regulations	B-1
Appendix C:	State Grant Application/Reporting Forms	C-1

Introduction: Using the Manual

Who Should Use It

The *State Energy Program Operations Manual* is a reference tool for the States and the program officials at the U.S. Department of Energy's (DOE) Office of Building Technology, State and Community Programs (BTS), and DOE's Regional Support Offices (RSOs). "States," when referred to in the *Manual*, include the 50 States, the District of Columbia, and the U.S. territories: American Samoa, the Commonwealth of the Northern Marianas, Guam, Puerto Rico, and the U.S. Virgin Islands.

How the Manual is Organized

This *Manual* contains information needed to apply for and administer the State Energy Program (SEP). Chapter 1 provides a brief history of and general information about the program. Chapter 2 provides application rules and procedures and Chapters 3 and 4 explain how to administer and monitor the program. Chapter 5 explains the Systems Approach to Grants Administration for Windows (WinSAGA), the online system used to submit applications and reports and that provides online access to program records and documents. Chapter 6 provides additional sources of information that can be accessed through the Internet. Petroleum Violation Escrow (PVE) funding history, Federal regulations, and required forms can be found in Appendices A through C.

BTS plans to post the *State Energy Program Operations Manual* on its SEP web site where it can be updated as needed. For the most current version of the *Manual*, visit SEP's web site at www.eren.doe.gov/buildings/state_and_community/sep.html

Reference Aids

The *Manual* also contains At-A-Glance references tables located at the beginning of each chapter that summarize chapter elements. In addition, references to program regulations and additional sources of information are provided in the left margins that indicate where to locate information in the *Manual* or on the Internet.

Terms

State Plan – The State Plan comprises all components of a State's energy conservation program, including the States' annual Grant Application for Federal funds, budget information, assurances and certifications, reports, and the Master File.

Grant Application – Components of the State Plan filed annually that request formula grant funding for a program year and define how that funding will be used.

Master File – Components of the State Plan filed with first-year applications and updated annually as needed. The Master File defines the State's energy efficiency and renewable energy goals and the activities undertaken to achieve those goals.

States or State Energy Offices – States that receive grant funds.

Subrecipients – Contractors and others that receive money from the State.

Federal Fiscal Year (FY) – The Federal fiscal year begins October 1 and ends September 30.

Program Year (PY) – Each State selects a 12-month program period or program year that usually corresponds with the State's fiscal year. Although the State's program year may start during the Federal fiscal year it can extend beyond the Federal fiscal year.

Acronyms	ARSO	Atlanta Regional Support Office
	ASAP	Automated Standard Application for Payment
	ASHRAE	American Society of Heating, Refrigeration, and Air-Conditioning Engineers
	BRSO	Boston Regional Support Office
	BTS	Office of Building Technology, State and Community Programs
	CEQ	Council on Environmental Quality
	CFDA	<i>Catalog of Federal Domestic Assistance</i>
	CFR	<i>Code of Federal Regulations</i>
	CRSO	Chicago Regional Support Office
	DISCAS	Departmental Integrated Standard Core Accounting System
	DOE	U.S. Department of Energy
	DRSO	Denver Regional Support Office
	EE	Office of Energy Efficiency and Renewable Energy
	EES	Energy Extension Service
	EIA	Energy Information Administration
	EPAct	The Energy Policy Act of 1992
	FEMP	Federal Energy Management Program
	FMS	Federal Management Service
	FSR	Financial Status Report
	FY	Fiscal Year
	GFO	Golden Field Office
	HERS	Home Energy Rating System

Acronyms (cont'd.)

HOV	High Occupancy Vehicle
ICP	Institutional Conservation Program IESNA Illuminating Engineering Society of North America
IPAR	Individual Procurement Action Report
MEMP	Municipal Energy Management Program
NASEO	National Association of State Energy Officials
NEPA	National Environmental Policy Act
NFAA	Notice of Financial Assistance Award
OHA	Office of Hearings and Appeals
OMB	Office of Management and Budget
OSCP	Office of State and Community Programs
PADS	Procurement and Assistance Data System
PR	Procurement Request
PRSO	Philadelphia Regional Support Office
PSR	Project Status Report
PTI	Public Technology, Inc.
PVE	Petroleum Violation Escrow (Funds)
PY	Program Year
RSO	Regional Support Office
SECP	State Energy Conservation Program
SEO	State Energy Office
SEP	State Energy Program
SF	Standard Form
SRSO	Seattle Regional Support Office
UCETF	Urban Consortium Energy Task Force
WAP	Weatherization Assistance Program for Low-Income Persons
WinSAGA	Systems Approach to Grants Administration (SAGA) for Windows